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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                               |   |
|-------------------------------|---|
| <i>Attorney Docket No.</i>    | R2184.0297/P297   |
| <i>First Inventor</i>         | Masahiko Nakayama   |
| <i>Title</i>                  | OPTICAL PICKUP APPARATUS AND OPTICAL DISK DRIVE APPARATUS |
| <i>Express Mail Label No.</i> |   |

**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages **62**]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fee Sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [Total Sheets ]
5. Oath or Declaration [Total Sheets **5**]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** MS Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or ii.  Paper
  - c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of Attorney (when there is an assignee)
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation     Divisional     Continuation-in-part (CIP)    of prior application No.:

Prior application information: Examiner \_\_\_\_\_ Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**
 Customer Number: **24998**  Correspondence address below

|         |  |           |                |          |                    |
|---------|--|-----------|----------------|----------|--------------------|
| Name    | DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP<br>Mark J. Thronson |           |                |          |                    |
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|                   |                  |                                   |                       |
|-------------------|------------------|-----------------------------------|-----------------------|
| Name (Print/Type) | Mark J. Thronson | Registration No. (Attorney/Agent) | 33,082                |
| Signature         |                  |                                   | Date January 28, 2004 |

17548 U.S. PTO  
10765503

012804

16638  
U.S. PTO

012804

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003, Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$ 810.00)

| <i>Complete if Known</i> |                       |
|--------------------------|-----------------------|
| Application Number       | Not Yet Assigned      |
| Filing Date              | Concurrently Herewith |
| First Named Inventor     | Masahiko Nakayama     |
| Examiner Name            | Not Yet Assigned      |
| Art Unit                 | N/A                   |
| Attorney Docket No.      | R2184.0297/P297       |

**METHOD OF PAYMENT (check all that apply)**
 Check     Credit Card     Money Order     Other     None
 Deposit Account:

Deposit Account Number 04-1073

Deposit Account Name Dickstein Shapiro Morin &amp; Oshinsky LLP

The Director is authorized to: (check all that apply)

 Charge fee(s) indicated below     Credit any overpayments Charge any additional fee(s) or any underpayment of fee(s) Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity              | Small Entity | Fee Description | Fee Paid |
|---------------------------|--------------|-----------------|----------|
| Fee Code                  | Fee (\$)     | Fee Code        | Fee (\$) |
| 1051                      | 130          | 2051            | 65       |
| 1052                      | 50           | 2052            | 25       |
| 1053                      | 130          | 1053            | 130      |
| 1812                      | 2,520        | 1812            | 2,520    |
| 1804                      | 920*         | 1804            | 920*     |
| 1805                      | 1,840*       | 1805            | 1,840*   |
| 1251                      | 110          | 2251            | 55       |
| 1252                      | 420          | 2252            | 210      |
| 1253                      | 950          | 2253            | 475      |
| 1254                      | 1,480        | 2254            | 740      |
| 1255                      | 2,010        | 2255            | 1,005    |
| 1401                      | 330          | 2401            | 165      |
| 1402                      | 330          | 2402            | 165      |
| 1403                      | 290          | 2403            | 145      |
| 1451                      | 1,510        | 1451            | 1,510    |
| 1452                      | 110          | 2452            | 55       |
| 1453                      | 1,330        | 2453            | 665      |
| 1501                      | 1,330        | 2501            | 665      |
| 1502                      | 480          | 2502            | 240      |
| 1503                      | 640          | 2503            | 320      |
| 1460                      | 130          | 1460            | 130      |
| 1807                      | 50           | 1807            | 50       |
| 1806                      | 180          | 1806            | 180      |
| 8021                      | 40           | 8021            | 40       |
| 1809                      | 770          | 2809            | 385      |
| 1810                      | 770          | 2810            | 385      |
| 1801                      | 770          | 2801            | 385      |
| 1802                      | 900          | 1802            | 900      |
| Other fee (specify) _____ |              |                 |          |

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$ 40.00)****2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

| Total Claims         | -20** = | Extra Claims | Fee from below | Fee Paid |
|----------------------|---------|--------------|----------------|----------|
| 14                   | -20** = |              | x              | = 0.00   |
| Independent Claims 3 | -3** =  |              | x              | = 0.00   |
| Multiple Dependent   |         |              |                | =        |

| Large Entity                  | Small Entity | Fee Description   |
|-------------------------------|--------------|---|
| Fee Code                      | Fee (\$)     | Fee Code  |
| 1202                          | 18           | 2202 9 Claims in excess of 20                                     |
| 1201                          | 86           | 2201 43 Independent claims in excess of 3                         |
| 1203                          | 290          | 2203 145 Multiple dependent claim, if not paid                    |
| 1204                          | 86           | 2204 43 ** Reissue independent claims over original patent        |
| 1205                          | 18           | 2205 9 ** Reissue claims in excess of 20 and over original patent |
| <b>SUBTOTAL (2) (\$ 0.00)</b> |              |   |

\*\*or number previously paid, if greater; For Reissues, see above

(Complete if applicable)

|                   |                  |                                      |        |           |                  |
|-------------------|------------------|--------------------------------------|--------|-----------|------------------|
| Name (Print/Type) | Mark J. Thronson | Registration No.<br>(Attorney/Agent) | 33,082 | Telephone | (202) 775-4742   |
| Signature         |                  |                                      |        | Date      | January 28, 2004 |